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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Guan et al. )  
U.S. App. No.: 10/567,712 )  
Int. App. No.: PCT/US04/25586 )  
Int. Filing Date: 08/06/2004 )  
For: Macrocyclic Metal Complexes and )  
Their Uses as Polymerization Catalysts )

Art Unit: Unassigned

Examiner: Unassigned

**CERTIFICATE OF TRANSMISSION/MAILING**  
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on October 19, 2006.

By: *Nancy V. McBrath*  
Nancy V. McBrath

**Transmittal Letter**  
**Information Disclosure Statement**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

1. ☒ The information disclosure statement submitted herewith is being filed within three months of the filing date of the application or date of entry into the national stage of an international application or before the mailing date of a first Office Action on the merits, whichever event occurs last (37 C.F.R. § 1.97(b)).
2. ☐ The information disclosure statement transmitted herewith is being filed after three months of the filing date of this national application or the date of entry of the national stage as set forth in § 1.491 in an international application or after the mailing date of the first Office Action on the merits, whichever event occurred last but before the mailing date of either:
  - (1) a final action under § 1.113 or
  - (2) a notice of allowance under § 1.311, whichever occurs first.

### **CERTIFICATION OR FEE**

A. Included with this transmittal is

- i. ☒ a certification (set forth below) in accordance with 37 C.F.R. § 1.97(e). (If for any reason the certificate set forth below should be unsatisfactory, the Commissioner is provisionally authorized to charge the \$180 fee (37 C.F.R. § 1.17(p)) to Deposit Account No. 50-0878. A duplicate copy of this sheet is enclosed.)

### **OR**

- ii. ☐ the attached fee set forth in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under § 1.97(c) (\$180.00).
3. ☐ The information disclosure statement transmitted herewith is being filed after a final action under 37 C.F.R. § 1.113 or a notice of allowance under 37 C.F.R. § 1.311, whichever occurs first, but before, or simultaneously with the payment of the issue fee (37 C.F.R. § 1.97 (d)); and
- ☐ Set forth below is a certification as specified in 37 C.F.R. § 1.97(e).
- ☐ This information disclosure statement is being filed along with a Request for Continued Examination and fee required under 37 C.F.R. § 1.17(e).

### **CERTIFICATION**

(Required if 2Ai or 3 above is marked)

4. I, the person signing below, certify

- ☒ that each item of information contained in the information disclosure statement was cited in the attached communication from a foreign patent office in a counterpart foreign application and that the communication is dated not more than three months prior to the filing of the statement (37 C.F.R. § 1.97(e)(1)).

OR

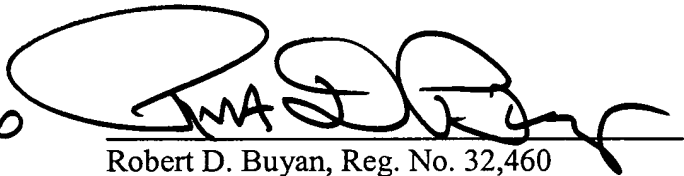
- ☐ that no item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in ' 1.56(c) more than three months prior to the filing of the statement. 37 C.F.R. § 1.97(e)(2).
5. ☒ It is believed that no fee is due in connection with this filing, however if it should be determined that for any reason, either an insufficient fee or an excessive fee has been paid, please charge any insufficiency or credit any overpayment necessary to ensure consideration of the information disclosure statement for the above-identified application to Deposit Account No. 50-0878.

Respectfully submitted,

STOUT, UXA, BUYAN & MULLINS, LLP

Date:

Oct. 19, 2006



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By: 

Nancy V. McElrath

**INFORMATION DISCLOSURE STATEMENT**  
**PURSUANT TO 37 CFR SECTION 1.97(c)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 CFR Section 1.97(c) (as amended on March 16, 1992), the following Information Disclosure Statement is submitted as listed on Form PTO-1449 enclosed herewith.

No representation is made that the reference(s) disclosed herein legally constitute prior art or that more relevant references are not available. The disclosure document(s) listed on the attached Form PTO-1449 are printed in the English language and/or accompanied by an Abstract published in the English language.

The reference(s) listed herein, when taken alone or in combination, are not believed to disclose nor make obvious the invention as claimed in the subject application.


As the references were cited in an International Search Report whose mailing date is not more than three (3) months prior to the filing of this Information Disclosure Statement and are being filed before the mailing date of a first Office Action on the merits, it is believed that no fee is due. However, in the event that any fee is properly deemed to be due in connection with this filing, the Commissioner is authorized to deduct such fee from Deposit Account No. 50-0878.

Respectfully submitted,

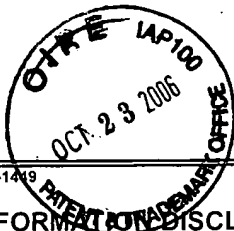
STOUT, UXA, BUYAN & MULLINS, LLP

Date:

Oct 19, 2006

  
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Form PTO-1449		Docket No.: UCIVN-044US		Application No.: 10/567,712			
<b>INFORMATION DISCLOSURE CITATION IN AN APPLICATION</b> (Use several sheets if necessary)		Applicant: Guan et al.					
		Filing Date:		Group Art Unit:			
<b>U. S. PATENT DOCUMENTS</b>							
EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
<b>FOREIGN PATENT DOCUMENTS</b>							
	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	2003-261568	09-19-2003	Japan				
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
	AA	GRUTZMACHER, H. et al., <i>Complexation of transition metal ions <math>M^+</math> (<math>M = Fe, Co, Ni, Cu, Zn, Ag</math>) by [2.n] paracyclophane-enes (<math>n = 3, 4, 5, 6</math>) in the gas phase: effect of the molecular cavity on the complexation capability</i> , International Journal of Mass Spectrometry 2001, Vol. 210/211, pp. 311-325					
	AB	Gleiter, R. et al., <i>Phanes with Three- and Four-Membered Rings as Building Elements</i> , Angew. Chem. Int. Ed. Engl. 1997, Vol. 36, pp. 2426-2439					
	AC						
	AD						
	AE						
EXAMINER			DATE CONSIDERED				
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.							